

## CHAPTER 1

### UNIT ADMINISTRATION

100. INTRODUCTION. Units of the Navy are called upon to implement various peacetime and wartime policies of the Nation. Naval units, and the personnel assigned to them, must therefore be capable of performing a broad variety of activities effectively and efficiently within the myriad of operational environments representative of current Navy mission. The evolution of Navy missions and the threat to naval units in fulfilling command missions makes it imperative that naval personnel be immediately capable of correctly interpreting command objectives and executing complex actions in consonance with their responsibilities. Individuals and functional teams within the Naval unit must perform their responsibilities rapidly, efficiently, and effectively to contribute to a coordinated attainment of command task and mission objectives. It is incumbent upon officers and other key personnel within the chain of command to prepare their work force for meeting these responsibilities through acquiring and disseminating a clear understanding of unit organization and the meaning of administration with regard to accomplishment of the command missions. Experience has shown that operational readiness is primarily a matter of internal development. Morale, training, and maintenance of material are essential for optimum readiness. Proper administration of the unit promotes and sustains these three factors.

100.1 RELATIONSHIP TO OTHER GUIDANCE. This instruction issues relevant naval regulations and standard organization requirements applicable to the administration of naval units. Additional standard requirements Navy-wide for specific types of units, established by the type commander or higher authority, are intended to supplement the Navy-wide guidance provided by this instruction and serve to aid commanding officers and executive officers in administering their units in the best possible manner. Similarly, systems commands establish standard requirements for the maintenance and use of equipment under their cognizance. None of the guidance in this instruction is intended to contravene or supersede any provision of law, or other order, directive, or issuance of competent authority.

110. ELEMENTS OF ADMINISTRATION. Administration represents the machinery by which an organization plans and accomplishes its assigned responsibilities. In practice, administration is comprised of certain fundamental elements including planning,

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organization, command and control, and communications. Experience has demonstrated that issuance of standard organizational systems and procedures in writing fosters the use of the best available techniques for administration. Additionally, it provides for uniformity of operations in light of the continuing turnover of personnel within the naval service.

120. PLANNING. The first element of administration is planning which involves developing a selected course of future action. Planning helps the unit to decide in advance what to do, how to do it, when to do it and who is to do it. Naval Operational Planning, NWP 11 (NOTAL), gives details of planning operations, logistics, communications, intelligence, and psychological warfare. Although a good plan generally provides well-defined objectives, it must also be balanced and flexible. In cases where tactical situations may require changes to meet unexpected operational needs, the Commanding Officer should carry out the most expeditious and effective alternative. In addition to the operational aspects of planning, procedures for the administrative support of the unit must be established to ensure coordination of all administrative activities. The specific elements requiring careful attention include all areas of records management; such as directives (which will be discussed more fully in Chapter 10), filing, disposal, mail management, correspondence, reports and forms control, personnel communications, space management, equipment selection and management, and staffing.

130. ORGANIZATION. Organization is the element of administration which entails the orderly arrangement of materials and personnel by functions in order to attain the objective of the unit. Organization establishes the working relationship among unit personnel; establishes the flow of work; promotes teamwork; and identifies the responsibility, authority and accountability of individuals within the unit. In planning an organization, the following definitions are appropriate.

130.1 ACCOUNTABILITY refers to the obligation of an individual to render an account of the proper discharge of his or her responsibilities. This accounting is made to the person to whom the individual reports. An individual assigned both responsibility and authority also accepts a commensurate accountability, which is the requirement that he or she answer to his or her superior for his or her success or failure in the execution of his or her duties.

130.2 AUTHORITY is the power to command, enforce laws, exact obedience, determine, or judge.

130.3 DELEGATING is the assigning of a superior's authority to act to a subordinate. Authority may be delegated; however,

responsibility may never be delegated. Refer to Navy Regulations (1990) articles 0702, 0802, 0927 concerning the permissible scope and meaning of delegation of authority.

130.4 DUTIES refer to the tasks which the individual is required to perform.

130.5 RESPONSIBILITY is 1) The obligation to carry forward an assigned task to a successful conclusion. With responsibility goes authority to direct and take the necessary action to insure success and 2) The obligation for the proper custody, care, and safekeeping of property or funds entrusted to the possession or supervision of an individual.

131. PRINCIPLES OF ORGANIZATION. The principles applicable to developing an organization include unity of command, span of control and delegation of authority.

131.1 UNITY OF COMMAND. Unity of command ensures that a member reports directly to and receives orders from only one individual. One person must have control over one segment of the organization and that individual is responsible for issuing all orders and receiving all reports from that segment. To ensure all personnel know whom they direct and to whom they report, the lines of authority must be clearly established.

131.2 SPAN OF CONTROL. Span of control refers to the ideal number of people who can be supervised effectively by one person, but also recognizes the scope of the assigned functional responsibilities and the time available to the supervisor. Ordinarily, a supervisor should be immediately responsible for not less than three nor more than seven individuals.

131.3 DELEGATION OF AUTHORITY. Authority should be delegated to the lowest level of competence commensurate with the subordinate's assigned responsibility and capabilities. The principles of delegation also recognize, however, that officers at all levels are accountable ultimately for the performance of their organizational segments even if they have charged subordinates with immediate authority for managing certain functions.

132. ORGANIZATIONAL STRUCTURE. An effective organization will exhibit three basic features:

a. The general pattern of the organization should be designed to carry out the goals and objectives of the organization in the most effective and efficient way possible.

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b. All essential functions of the organization must be delineated as to specific responsibilities for appropriate segments of the organization.

c. There must be a clear definition of individual duties, responsibilities, authority, and organizational relationships.

132.1 STEPS IN SETTING UP THE ORGANIZATION. To establish an organization which accomplishes the above features certain steps should be followed:

a. Prepare a written statement of missions, objectives and functional tasks necessary to accomplish these objectives.

b. Familiarize all involved in planning the organization with the principles of organization.

c. Group the functions logically so they can be assigned to appropriate segments of the organization.

d. Prepare organization manuals, including organizational charts and functional billet descriptions, for personnel authorized for peacetime through M+2 (mobilization plus 2 days) assignment.

e. Document policies and procedures of the organization in writing.

f. Indoctrinate key personnel on their responsibilities, authority, and individual and group relationships.

g. Set up controls to ensure achievement of the organization's objectives.

h. Once established, the organizational structure should be continuously reviewed to ensure it is current with and responsive to changes in the assigned responsibilities of the command. Conduct manpower reviews at least annually and submit necessary manpower change requests per OPNAVINST 1000.16H.

#### 140. COMMAND AND CONTROL

141. COMMAND. Command is the authority which a commander in the military service lawfully exercises over his or her subordinates by virtue of rank or assignment. Command includes the authority and responsibility for effectively using available resources and for planning the employment, organizing, directing, coordinating, and controlling of military forces for the accomplishment of

assigned missions. Command includes responsibility for promoting the health, welfare, morale, effectiveness, and discipline of assigned personnel. Effective command requires mastery of leadership and communication skills, and the ability to motivate unit personnel to make personal sacrifices to attain command objectives.

141.1 MOTIVATION. Units recognized as highly successful in meeting assigned responsibilities are typically well organized and are staffed by personnel committed to supporting the objectives of the command. Factors affecting motivation include: clear communication of command objectives, unambiguous definition of authority and responsibility, and a commitment by the chain of command to recognize initiative and excellence as well as deficient performance.

141.2 LEADERSHIP. Good leadership is of primary importance in that it provides the motivating force which leads to coordinated action and unity of effort. Personnel leadership must be combined with authority since a leader must encourage, inspire, teach, stimulate, and motivate all individuals of the organization to perform their respective assignments well, enthusiastically, and as a team. Leadership must ensure equity for each member of the organization. Concerning actions in his or her area of responsibility, the leader should never allow a subordinate to be criticized or penalized except by himself or herself or such other authority as the law prescribes.

141.3 AUTHORITY WITHIN THE COMMAND. While the exercise of command is in many respects dependent upon the motivation of assigned personnel through personal leadership, the specific authority to direct the actions of assigned personnel is vested in officers and petty officers within the chain of command as a function of general authority of rank or rating or as a result of organizational authority which emanates from assignment to specific billets within the organization. Authority is granted to individuals within the Navy only in the fulfillment of assigned duties and commensurate with their responsibilities and accountability. Authority is subject to certain limitations and, in many cases, requires specific delegation within the command structure.

141.4 GENERAL AUTHORITY. All persons in the naval service are required to aid, to the utmost of their ability and extent of their authority, in maintaining good order and discipline in all matters concerned with the efficiency of command. All persons in the naval service have the responsibility to exercise proper authority over those persons subordinate to them. Conversely, all persons in the naval service are charged to obey readily and

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strictly, and to execute promptly, all lawful orders of their superiors.

141.5 ORGANIZATIONAL AUTHORITY. Organizational authority derives from billets assigned officers and petty officers within the organization. All officers, warrant officers, and petty officers have the authority necessary to fulfill their assigned duties and responsibilities.

141.6 ACCOUNTABILITY. In connection with general and organizational authority, the principles of accountability include:

a. Each individual, regardless of rank or position, is fully accountable for his or her own actions, or failure to act when required.

b. Leaders and supervisors have a duty to assign clear lines of authority and responsibility, reaching to the individual level, for all activity within their organization.

c. Leaders and supervisors have a duty to provide their subordinates the resources and supervision necessary to enable them to meet their prescribed responsibilities.

d. Leaders and supervisors have a duty to hold their subordinates accountable, and to initiate appropriate corrective, administrative, disciplinary, or judicial action when individuals fail to meet their responsibilities.

141.7 LIMITATIONS OF AUTHORITY. Authority includes the right to require actions of others by oral or written orders. Orders must be lawful and must not be characterized by tyrannical or capricious conduct, or by abusive language. Organizational authority beyond that necessary to fulfill assigned duties and responsibilities should not be delegated. Authority should never be delegated beyond the lowest level of competence and may be limited by command.

142. CONTROL. The "control" aspect of command and control involves measuring performance and, where deficiencies exist, providing corrective action. The control process requires that the unit commander establish standards, measure performance against these standards, and require correction where deviations from standards exist. Two types of controls are discussed here: the Management Control Program (MCP), and individual performance controls.

142.1 MANAGEMENT CONTROL PROGRAM. Commanding officers are responsible for ensuring that resources under their purview are used efficiently and effectively, and that programs and

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operations are discharged with integrity and in compliance with applicable laws and regulations. The MCP was established to fulfill this requirement in compliance with the Federal Managers' Financial Integrity Act (FMFIA) of 1982 (31 U.S.C. 3512), SECNAVINST 5200.35D, OPNAVINST 5200.25C and associated directives. The MCP is one tool available in the discharge of this duty. Other tools such as the Command Inspection Program, command evaluation reviews and analyses, and individual audits and investigations are available as well. Implementation of the MCP at each command is thus a leadership decision for the commanding officer on how best to ensure that the goals of the program are met. In general, management controls are the organization, policies, and procedures used to reasonably ensure that (1) programs achieve their intended results; (2) resources are used consistent with agency mission; (3) programs and resources are protected from waste, fraud, and mismanagement; (4) laws and regulations are followed; and (5) reliable and timely information is obtained, maintained, reported and used for decision making. The program for implementing management controls should have the following basic elements:

- a. Clear responsibility for MCP management and the performance of management control evaluations.
- b. Inventories of assessable units, segmented along organizational, functional, and/or program lines. An alternative methodology can be followed, provided equivalent results are obtained while still identifying vital management controls.
- c. Effective, continuously monitored and improved management controls associated with programs. Monitoring efforts should be documented. Both controls and monitoring measures should be designed to maximize the use of existing management evaluation data and minimize the creation of new processes and procedures solely to execute the MCP.
- d. Processes for identifying, reporting, and correcting material weaknesses, which are instances where management controls are not in place, not used, or not adequate. Again, maximize the use of existing processes.
- e. Effective training and clear accountability for individuals with responsibility for systems of control, including subordinate commanders or commanding officers, if any.

142.2 INDIVIDUAL PERFORMANCE CONTROLS. The individual performance control process also requires that the unit commander establish standards, measure performance against these standards, and require correction where deviations from standards exist. Resorting to the withholding of privileges and extra military instruction should occur only when counseling and normal training

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fail to accomplish the necessary objective. Such actions must be balanced by recognition of exemplary behavior and performance.

a. ADMINISTRATIVE CORRECTIVE MEASURES. Punishment may only be imposed through judicial process or nonjudicially through Article 15 of the Uniform Code of Military Justice (UCMJ). Authority to administer nonjudicial punishment is carefully reserved by UCMJ to certain commanders, commanding officers and officers in charge. In addition to punishment, the Manual for Courts-Martial (MCM) and Manual of the Judge Advocate General (JAGMAN) (JAGINST 5800.7C) recognize and authorize numerous non-punitive corrective measures. These are discussed in depth below.

b. POLICY CONCERNING NON-PUNITIVE CORRECTIVE MEASURES. To establish consistency within the Navy, the following policy is established.

(1) Extra Military Instruction (EMI)

(a) Definition. Extra military instruction is instruction in a phase of military duty in which an individual is deficient and is intended to correct that deficiency. Extra military instruction is an administrative measure authorized under Part II, MCM (Rules for Courts-Martial (R.C.M.) 306(c)(2)) and Part V, MCM, 1984 as a bonafide training device intended to improve efficiency of a command or unit and must, therefore, be genuinely intended as such. It must not be used as a substitute for punitive action appropriate under the UCMJ. Extra instruction assigned must be logically related to the deficiency to be corrected.

(b) Implementation. Extra military instruction within the Navy shall be implemented, when required, within the following limitations:

1. EMI will not normally be assigned for more than 2 hours per day.

2. EMI may be assigned at a reasonable time outside normal working hours.

3. EMI will not be conducted over a period that is longer than necessary to correct the performance deficiency.

4. EMI should not be assigned on member's Sabbath.

5. EMI will not be used as a method of depriving normal liberty. A member who is otherwise entitled to liberty may commence normal liberty upon completion of EMI.



(c) Authority. Authority to assign EMI to be performed during working hours is not limited to any particular rank or rate. It is an inherent part of that authority over subordinates which is vested in officers and petty officers in connection with duties and responsibilities assigned to them. Authority to assign EMI to be performed after working hours rests in the commanding officer or officer in charge but may be delegated to officers and petty officers in connection with duties and responsibilities assigned to them. Administration of EMI within the Navy shall be monitored by superiors in the chain of command as part of their normal supervisory duties. Authority should not be delegated below the lowest level of competence. Authority to assign EMI during working hours may be withdrawn by any superior if warranted. Authority to assign EMI after working hours may be withdrawn as provided in delegation of authority of the commanding officer or officer in charge.

Duties and responsibilities should also be withdrawn if withdrawal of authority is considered appropriate. Delegation of authority to assign EMI outside of working hours to responsible officers and senior petty officers is encouraged. Ordinarily such authority should not be delegated below the chief petty officer level. However, it is emphasized that delegation is the prerogative of the commanding officer and he/she is expected to exercise his/her independent judgment in determining the appropriate level, based on the situation prevailing in his/her command.

(2) WITHHOLDING OF PRIVILEGES. Temporary withholding of privileges is authorized under R.C.M. 306(c)(2) and Part V, MCM, 1984 as another administrative corrective measure that may be employed by superiors to correct infractions of military regulation or performance deficiencies in their subordinates when punitive action does not appear appropriate due to the minor nature of the infraction or deficiency. A privilege is a benefit, advantage, or favor, provided for the convenience or enjoyment of an individual. Examples of privileges that may be temporarily withheld as administrative corrective measures are special liberty, exchange of duty, special command programs, base or ship libraries, base or ship movies, base parking and base special services events.

(a) Authority. Final authority to withhold a privilege, however temporary, must ultimately rest with the level of authority empowered to grant that privilege. Therefore, authority of officers and petty officers to withhold privileges is, in many cases, limited to recommendations via the chain of command to the appropriate authority. Officers and petty officers are authorized and expected to initiate such actions when considered appropriate to remedy minor infractions as

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necessary to further efficiency of the command. Authority to withhold privileges of personnel in a liberty status is vested in the commanding officer or officer in charge. Such authority may, however, be delegated to the appropriate echelon, but, in no event, may the withholding of such privileges either by the commanding officer, officer in charge, or some lower echelon be tantamount to a deprivation of liberty itself.

(b) Implementation. Implementation of temporary withholding of privileges will be governed by specific procedures as prescribed by the cognizant authority empowered to grant that privilege.

(3) EXTENSION OF WORKING HOURS. Deprivation of normal liberty as a punishment except as specifically authorized under the UCMJ is illegal. Therefore, except as the result of punishment imposed by article 15, UCMJ, or by a court-martial, it is illegal for any officer or petty officer to deny to any subordinate normal liberty or privileges incident thereto as punishment for any offense or malperformance of duty. However, lawful deprivation of normal liberty may result from other actions such as authorized pretrial restraint, or deprivation of normal liberty in a foreign country or in foreign territorial waters, when such action is deemed essential for the protection of the foreign relations of the United States, or as a result of international legal hold restriction. Moreover, it is necessary to the efficiency of the naval service that official functions be performed and that certain work be accomplished in a timely manner. It is, therefore, not a punishment when persons in the naval service are required to remain on board and be physically present outside of normal working hours, or for the accomplishment of additional essential work, or for the achievement of the currently required level of operational readiness. Good leadership and management practice requires that the impact of readiness requirements and work requirements on normal liberty be kept under continual review. It is expected that supervisory personnel will keep their immediate supervisors informed when they intend to direct their subordinates to work beyond normal working hours.

(4) CONTROL THROUGH RECOGNITION OF PERFORMANCE. In addition to the exercise of lawful authorities, officers and senior petty officers have an equal basic responsibility to foster continuing attainment of command objectives through recognition of the initiative and exemplary performance of subordinates. All officers and senior petty officers are expected to commend their subordinates publicly when appropriate. Such recognition may include:

(a) Awarding letters of commendation and appreciation or recommending such for signature of higher authority.

(b) Initiating recommendations for personal awards.

(c) Assigning preferred duties.

(d) Initiating recommendations for special recognition, such as sailor of the month, quarter, year, force, fleet, and Navy.

(e) Making recommendations for reenlistment, assignment to training schools, education or advancement programs and documenting exceptional personal performance in enlisted evaluations.

150. COMMUNICATIONS. Communications link together each of the elements of administration and apply equally to all of them. Good administration depends on a smooth, orderly, and constant flow of information which is received, understood, and accepted by all those concerned. Communications within a unit are exercised primarily through the plan of the day, personal contact and by the issuance of unit instructions and notices. The plan of the day which issues daily instruction to personnel assigned to the unit, is a key management tool. Timely guidance and corrective actions desired can be related to the current activities of the unit, thus providing a daily means of communicating information necessary for good administrative command and control.

160. RECORDS AND INFORMATION MANAGEMENT. Administration is a facilitating function subordinate to other unit functions. Records management is an adjunct to administration. The unit cannot operate without the information contained in the records it maintains, yet uncontrolled creation of records leads to administrative inefficiency. Efficient administration requires the development of a Records Management Program within the guidelines established by higher authority. All records follow an identical life-cycle in that they are created, classified, stored, retrieved when necessary, and returned to storage or destroyed. In order to manage these activities, the unit must establish the following records management disciplines in accordance with the following guidelines:

a. Correspondence - SECNAVINST 5216.5C

b. Forms - SECNAVINST 5213.10D

c. Reports - SECNAVINST 5214.2B (NOTAL)

d. Administrative Issuances - SECNAVINST 5215.1C  
(Administrative issuances are discussed more fully in Chapter 10)

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e. Records disposal, storage, and protection - SECNAVINST 5212.5D

f. Files - SECNAVINST 5210.11D

g. Classified material control - OPNAVINST S5510.36

h. SECNAVINST 5720.42E shall be referred to concerning all requests for Department of the Navy records that can reasonably be interpreted as requests under the Freedom of Information Act. Additionally, SECNAVINST 5211.5D must be carefully followed concerning collecting personal information and safeguarding, maintaining, using, accessing, amending, and disseminating personal information maintained in systems of records. Particular attention must be paid to requests for lists of names and duty addresses or home addresses or phone numbers of crew members. See paragraph 510.37.